

**HUMAN RESOURCES MANAGEMENT**

**I. Personnel Processing Activity**

**A. Initiating/Processing Personnel Actions**

1. Who initiates?
2. Who approves?
3. Did Area keep any copy of communications regarding vacancies?

**B. Processing Personnel Actions**

1. Did Area keep copy of any communications for Work Folder

**C. Conditions of Employment Letters**

1. Letter completed by Regional Office, does Area keep copy for Work Folder?

**D. New Employee Orientation Handbook and Supervisor's Checklist**

1. Did Area use and keep checklist in Work Folder?
2. Did employee receive handbook?

**E. Employment Limitations**

**F. Individual Work Folders**

1. Secured?
2. Review for authorized contents
3. Maintained for current employees only

**II. Position Management**

**A. Assessment of Needs/Assignment of Duties**

**B. Application of Position Management Principles**

**C. Staffing Plans (Area Staffing Chart, Organizational Chart, Area Maps) - Is there a current staffing plan, organization chart, or area map?**

**D. Utilization of Personnel**

**III. Staffing Options**

**A. Merit Promotion**

1. Selection Letters - Regional Office prepares
2. Non-Select Letters - Does Area keep copy?

**B. Utilization of Special Employment Programs**

**C. Details, Temporary Promotions, Temporary or Term Appointments - Does Area utilize these ideas during vacancies?**

**IV. Equal Opportunity/Civil Rights (EO/CR)**

**A. Bulletin Board Postings**

1. EEO Counseling Services Staff Poster w/ telephone number
2. AD-475-A Poster, "...And Justice for All"
3. Regional EEO Advisory Committee Roster
4. Sexual Harassment Poster

**B. EEO Performance Element/Standards-Supervisory/non-supervisory**

1. Stand alone mandatory element for supervisors
2. Non-supervisory - may be combined with other critical elements

**C. EO/CR Awards**

**D. EO/CR Diversity Training**

**E. Learning Contracts**

1. Training identified
2. Training completed
3. Training is equitable among Area employees

**F. EO/CR Files**

**1. Area Committee Meetings**

- a) Frequency - Quarterly/Semi-annual
- b) Minutes - distribution to Area employees, Region, and other Areas within Region

**2. Reports**

- a) Area Office accomplishments Timely??
- b) AEP - how are employees informed? is there documentation?
- c) Hiring objectives and underrepresentation information - how is it distributed to employees? how do managers consider it in the selection process?
- d) Area Work Conference - EEO Topics/Training
- e) EEO participation by Area employees - i.e., Special Emphasis Managers, Regional/Area committee members, outreach, volunteer service

**3. Policy statements**

**4. Program Delivery**

**a. Accessibility**

- 1) Buildings
- 2) Elevators
- 3) Water fountains
- 4) Bathrooms
- 5) Handicapped parking

**b. Applicable Accommodations for employees**

- 1) Hearing devices
    - 2) Communication devices, i.e., TDD, Interpreters, etc.
  - c. Public Notification requirements
  - d. Written assurance agreements re: cooperative agreements and grants
- 5. Interviews of Area Offices and field employees
- V. Employee Relations (Conduct/Discipline)
  - A. Review of Area Policies and Procedures
  - B. Ethics Training Area Work Conference
  - C. Management of Conflict
  - D. Standards of Conduct
- VI. Performance Management
  - A. Establishment, Maintenance and Disposition of Employee Performance Files (EPFs) - (At the Regional Level)
  - B. Supervisor's Performance Files for Individual Employees (At Area Level) - what's in them? same as work folders?
  - C. Performance Ratings and Appraisal Forms (Timely)
  - D. Mid-Year/Annual Performance Reviews (Timely)
  - E. Quality of Standards
    - 1. Reflect Job Duties
    - 2. Meets/Exceeds Requirements Ratable
  - F. Documentation to Support Less Than Fully Successful or Exceeds Fully Successful
  - G. Performance Awards/Recognition  
*Equitable*
- VII. Incentive Awards/Recognition Program
  - A. Performance Related Awards and supporting documentation  
*Justification*
  - B. Nonperformance Related Awards  
*Justification*
  - C. Employee Suggestion Program
- VII. Employee Development and Training
  - A. Training Files

- B. Review of IDPs/Learning Contracts

IX. Position Classification

- A. Position Audits *completed or requested*
- B. Assignment of Duties
- C. Position Descriptions
  - 1. Does the Area have a copy of each employees PD?
  - 2. Does the employee have a copy of their own PD?

X. Tours of Duty and Hours of Work

- A. Standard/Non-Standard Tours of Duty  
*Check T&A to see standard/non-standard employees*
- B. First 40-Hour Tours of Duty (Proper use and controls)  
*Verify that those on First 40 should be*
- C. Overtime Documentation/Approval  
*Is there Written Advance requesting any overtime?*
- D. Leave Administration  
*For all leave, are there approved leave slips?*
- E. Application of FLSA
- F. Weekly Activity Reports  
*Are they filled out completely with starting and ending time?*
- G. Alternate Work Schedules
  - 1. Is Area on AWS?
  - 2. Is it documented and approved by Regional Director?
  - 3. Are employees completing a daily log with beginning and ending time and signing in and out for lunch each day?
- H. Flexiplace
  - 1. Is anyone participating?
  - 2. Has it been approved?
- I. Time and Attendance Reports
  - 1. Are they timely and correct?
  - 2. Are errors detected timely?
  - 3. Does T&A Clerk, employee and supervisor review/initial?

X. Official Duty Station

- A. Determining Appropriate ODS (Are Employees residing in assigned geographical section?)

B. Review of Appropriate Documentation

1. Memo in file designating residence as ODS
2. AD-728, Request for Home to Work Transportation
3. APHIS Form 139
4. VS Form 8-35

C. Flexiplace - monitoring of work accomplishment and proper approval levels

**REFERENCES*****Description*****I. Personnel Processing Activity**

- APHIS Directive 408.1
- APHIS Directive 408.2
- VS Memorandum 540.4
- PMIS-SDG
- Position Organizational Listing
- Area Organizational Chart

*Official Personnel Files and Work Folders*  
*Personnel Records at Program Operating Levels*  
*Employee Orientation*  
*Personnel Management Issuance*  
*System/Supervisor's Desk Guide*

**II. Position Management**

- APHIS Directive 107.1
- PMIS-SDG
- Area Maps
- Position Organization Listing
- Area Organizational Chart

*Position Management and Organization*

**III. Staffing Options**

- APHIS Directive 4335.1
- PMIS-SDG

*Merit Promotion*

**IV. Equal Opportunity/Civil Rights (EO/CR)**

- APHIS Directive 401.1
- APHIS Directive 401.5
- Administrative Notice 94-10

*Equal Employment Opportunity*  
*Preventing Sexual Harassment in the Workplace*  
*Performance Elements and Standards for APHIS*  
*Employees*

**V. Employee Relations (Conduct/Discipline)**

- PMIS-SDG

**VI. Performance Management**

- Administrative Notice 94-10
- Administrative Notice MRP 96-1
- Administrative Notice H-91-12
- PMIS-SDG

*Performance Elements and Standards for APHIS*  
*Employees*  
*Instructions for Preparing and Processing*  
*Performance Appraisals*  
*Performance Management System Mid-Cycle*  
*Progress Review*

**VII. Incentive Awards/Recognition Program**

- DPM Chapter 451
- USDA/OP
- Personnel Letter
- PMIS-SDG
- APHIS Bulletin 93-6

*Incentive Awards*  
*Incentive Awards - Spot Awards*  
  
*Spot Awards*

- APHIS Directive 440.2
- USDA Guide for Employee Recognition

*Invention Awards*

**X. Tours of Duty and Hours of Work**

- PMIS Human Resources Guide
- PC-Tare Users Guide